

Management System: Contracting and Financial Assistance

Subject Area: Financial Assistance

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1.0 Introduction

This subject area provides procedures that support the three major phases for the financial assistance process: pre-award, award, and post-award. These phases can be further segmented as identified and discussed/covered in the Department of Energy Guide to Financial Assistance, A Guide to the Award and Administration of Financial Assistance issued and maintained by the DOE Office of Procurement and Assistance Policy, Office of Procurement and Assistance Management. This guide is a reference document providing a compilation of non-regulatory information and guidance related to implementation of existing statutory and regulatory requirements. Regulatory requirements are contained in the DOE Financial Assistance Rules and applicable program rules.

2.0 Contents

The table below defines Environmental Management Consolidated Business Center (EMCBC) procedures that pertain to certain areas of the financial assistance process.

Procedures	Procedure Content
1. DOE Guide to Financial Assistance	<ul style="list-style-type: none">The guidance contained in this document is intended to help DOE staff carry out its financial assistance activities. The Guide contains detailed guidance for pre-award, award and post-award processes for financial assistance awards.
2. IP-540-09 , Cost and Pricing Analysis Support for Financial Assistance Actions and Post-Award Contract Actions	<ul style="list-style-type: none">This procedure establishes the general process for requesting and providing cost and price analysis support for financial assistance actions.

Procedures	Procedure Content
3. TI-OOC-001 , Organization of Contract, Financial Assistance and Interagency Agreement Files	<ul style="list-style-type: none"> This technical instruction specifies a uniform method for filing documents related to financial assistance awards.
4. IP-540-06 , Procurement Request Packages, Including Financial Assistance	<ul style="list-style-type: none"> This procedure establishes the general content requirements for financial assistance procurement request/requisition packages.

3.0 Exhibits/Forms

- [DOE Merit Review Guide](#) for Financial Assistance and Unsolicited Proposals
- [Department of Energy Guide to Financial Assistance](#), A Guide to the Award and Administration of Financial Assistance

4.0 Related Information

- [The Catalog of Federal Domestic Assistance](#) (CFDA)
- [DOE O 361.1B](#), Acquisition Career Management Program
- [Automated Standard application for Payment](#) (ASAP) System
- [U.S. Department of Energy \(DOE\) Office of Acquisition and Project Management \(APM\)](#) Web site

5.0 Requirements

Document	Title
10 CFR 600	Financial Assistance Rules
10 CFR 601	New Restrictions on Lobbying
DOE FALs	DOE Financial Assistance Letters
DOE Acquisition Guide Chapter 71.1	Review and Approval of Contract and Financial Assistance Actions

6.0 Definitions

Term	Definition
Application	A written request for financial assistance.
Award	A written document executed by a DOE Contracting Officer, after an application is approved, which contains the terms and conditions for providing financial assistance to the recipient.
Funding Opportunity Announcement (FOA)	A document which requests the submission of applications for financial assistance and which describes program objectives, recipient and project eligibility requirements, desired performance activity, evaluation criteria, award terms and conditions, and other relevant information about the financial assistance opportunity.
Merit Review	A thorough, consistent, and objective examination of applications based on pre-established criteria by persons who are independent of those submitting the application and who are knowledgeable in the field of endeavor for which support is requested.
Unsolicited Proposal	A written request for U.S. Department of Energy support of a project which is submitted without a solicitation made by the Department of Energy.